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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	ANL 203C
First Inventor	Michael M. Thackeray et al.
Title	LITHIUM METAL OXIDE ELECTRODES FOR..
Express Mail Label No.	EV 216614293 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 21]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 14]
5. Oath or Declaration [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: preliminary amendment

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner

L. S. Weiner

of prior application No. 09 / 989,844

Group Art Unit: 1745

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Harry M. Levy				
Address	Emrich and Dithmar 300 South Wacker Drive, Suite 3000				
City	Chicago	State	Illinois	Zip Code	60606
Country	USA	Telephone	312-663-9800	Fax	312-663-9822

Name (Print/Type)	Harry M. Levy	Registration No. (Attorney/Agent)	24,248
Signature	[Signature]		Date <u>01/17/03</u>

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

22387 U.S. PTO  
10/688004



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# FEE TRANSMITTAL

## for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 385.00)

**C mplete if Known**

Application Number	
Filing Date	
First Named Inventor	Michael M. Thackeray et al.
Examiner Name	
Art Unit	
Attorney Docket No.	ANL 203C

**METHOD OF PAYMENT (check all that apply)**☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit Account Number  
05-1060Deposit Account Name  
Emrich and Dithmar

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	385.00
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$ 385.00)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
4	-20** = 0	9	0.00
1	-3** = 0	42	0.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
1051 130	2051 65			Surcharge - late filing fee or oath	
1052 50	2052 25			Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130			Non-English specification	
1812 2,520	1812 2,520			For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*			Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*			Requesting publication of SIR after Examiner action	
1251 110	2251 55			Extension for reply within first month	
1252 410	2252 205			Extension for reply within second month	
1253 930	2253 465			Extension for reply within third month	
1254 1,450	2254 725			Extension for reply within fourth month	
1255 1,970	2255 985			Extension for reply within fifth month	
1401 320	2401 160			Notice of Appeal	
1402 320	2402 160			Filing a brief in support of an appeal	
1403 280	2403 140			Request for oral hearing	
1451 1,510	1451 1,510			Petition to institute a public use proceeding	
1452 110	2452 55			Petition to revive - unavoidable	
1453 1,300	2453 650			Petition to revive - unintentional	
1501 1,300	2501 650			Utility issue fee (or reissue)	
1502 470	2502 235			Design issue fee	
1503 630	2503 315			Plant issue fee	
1460 130	1460 130			Petitions to the Commissioner	
1807 50	1807 50			Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180			Submission of Information Disclosure Stmt	
8021 40	8021 40			Recording each patent assignment per property (times number of properties)	
1809 750	2809 375			Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375			For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375			Request for Continued Examination (RCE)	
1802 900	1802 900			Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

**SUBMITTED BY**

Name (Print/Type)	Harry M. Levy	Registration No. (Attorney/Agent)	24248	Telephone	312-6639800
Signature		Date	10/1/07		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ANL-IN-00-063C  
Docket No. 203C

**UTILITY APPLICATION FOR  
UNITED STATES LETTERS PATENT**

This is a divisional of application serial no. 09/989,844 filed November 21, 2001, which was a continuation-in-part of application serial no. 09/887,842 filed June 21, 2001 based on provisional application serial no. 60/213,618 filed June 22, 2000.

ENTITLED:

**LITHIUM METAL OXIDE ELECTRODES  
FOR LITHIUM CELLS AND BATTERIES**

**Bibliographic Data:**

**Inventors:**

Michael M. Thackeray  
1763 Cliffside Court  
Naperville, Illinois 60565  
Citizen of South Africa

Christopher S. Johnson  
1933 Lisson Road  
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6813 Penner Place  
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6 S 359 Greenwich Court  
Naperville, Illinois 60540  
Citizen of Republic of Korea

Small Entity: XX [Yes]        [No]

Case Docket No. 203C  
**Correspondence Information:**

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Registration No. 24,248  
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**Assignee Information:**

The University of Chicago  
5801 South Ellis Street  
Chicago, IL 60635

*IN THE UNITED STATES PATENT AND TRADEMARK OFFICE*

Applicants: Michael M. Thackeray et al.  
Title: LITHIUM METAL OXIDE ELECTRODES FOR LITHIUM CELLS  
AND BATTERIES  
Docket No.: 203-C

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MAIL STOP NEW PATENT APPLICATION/DIVISIONAL  
Assistant Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SIR:

This is a request for filing a divisional application under 37 C.F.R. §1.53(b), of pending prior application serial no. 09/989,844 filed on November 21, 2001.

Enclosed is a true copy of the prior application as filed, including the specification, claims, drawings, and Declaration, Power of Attorney.

Applicant qualifies for small entity status under 37 CFR 1.9(f) and 1.27(d).

Copies of the prior filed specification, drawings, Declaration and Assignment are enclosed.

Please cancel claims 1-13, 23, 25, 27-29 of the prior application claims before calculating the filing fee. Claims 14-22, 24 and 26 of the prior application were canceled during prosecution. New claims 27-30 have been added.

The filing fee is calculated below:

Basic Fee	\$ 385.00
0 Claims in Excess of 20	0.00
1 Independent Claims	
0 in Excess of 3	<u>00.00</u>
	\$ 385.00

Our check in the amount of \$385.00 is enclosed.

The Commissioner is authorized to charge any additional fees or credit any overpayments incident to the filing of this divisional application to Account No. 05-1060. Duplicate copies of this document are enclosed.

Amend the specification by inserting before the first line the sentence:

--This is a divisional of application serial no. 09/989,844 filed November 21, 2001, which was a continuation-in-part of application serial no. 09/887,842 filed June 21, 2001 based on provisional application serial no. 60/213,618 filed June 22, 2000.--

Please enter the enclosed preliminary amendment.

The prior application is assigned of record to The University of Chicago on May 7, 2002 at Reel 012878, Frame 0632, copy enclosed.

The power of attorney appears in the original papers in the prior application, and is to:

*EMRICH & DITHMAR*

*300 South Wacker Drive, Suite 3000,*

*Chicago, Illinois 60606*

*Telephone (312) 663-9800*

*Facsimile: (312) 663-9822*

and each and every member and associate thereof and patent agent therein, including Harry M. Levy (Reg. No. 24,248), Paul L. Brown (Reg. No. 27,184), James J. Hill (Reg. No. 24,287), Thomas E. Hill (Reg. No. 28,955) and Jonathan J. Krit (Reg. No. 37,164).

Address all further correspondence to:

*Harry M. Levy, Esq.*  
**EMRICH & DITHMAR**  
Suite 3000, 300 South Wacker Drive,  
Chicago, Illinois 60606

The undersigned declares further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that willful false statements may jeopardize the validity of the application or any patent issuing thereon.

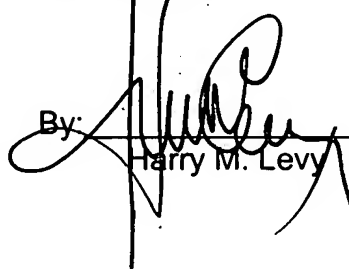
Respectfully submitted,

**EMRICH & DITHMAR**  
Suite 3000  
300 South Wacker Drive  
Chicago, Illinois 60606  
(312) 663-9800

Date: \_\_\_\_\_

10/15/07

By: \_\_\_\_\_

  
Harry M. Levy